Planning Process Principles

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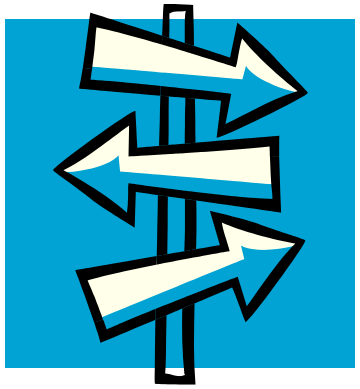
And Food

A planning process describes how a group of people work together to define and accomplish objectives.



It can be relatively simple:

…or it can be complicated:

..or it can be downright institutional:

- **The NEPA Process**

- The NEPA process consists of an evaluation of the environmental effects of a federal undertaking including its alternatives. There are three levels of analysis: categorical exclusion determination; preparation of an environmental assessment/finding of no significant impact (EA/FONSI); and preparation of an environmental impact statement (EIS).

- **Categorical Exclusion**: At the first level, an undertaking may be categorically excluded from a detailed environmental analysis if it meets certain criteria which a federal agency has previously determined as having no significant environmental impact. A number of agencies have developed lists of actions which are normally categorically excluded from environmental evaluation under their NEPA regulations.

assessment

- **EA/FONSI:** At the second level of analysis, a federal agency prepares a written environmental **assessment** (EA) to determine whether or not a federal undertaking would significantly affect the environment. If the answer is no, the agency issues a finding of no significant impact (FONSI). The FONSI may address measures which an agency will take to mitigate potentially significant impacts.

developing alternatives

- **EIS**: If the EA determines that the environmental consequences of a proposed federal undertaking may be significant, an EIS is prepared. An EIS is a more detailed evaluation of the proposed action and **alternatives**. The public, other federal agencies and outside parties may provide **input** into the preparation of an EIS and then comment on the draft EIS when it is completed.

providing input

- If a federal agency anticipates that an undertaking may significantly impact the environment, or if a project is environmentally controversial, a federal agency may choose to prepare an EIS without having to first prepare an EA.
After a final EIS is prepared and at the time of its decision, a federal agency will prepare a public record of its **decision** addressing how the findings of the EIS, including consideration of alternatives, were incorporated into the agency's decision-making process.

decision

- **EA And EIS Components**
- An EA is described in Section 1508.9 of the CEQ NEPA regulations. Generally, an EA includes brief discussions of the following:
- The need for the proposal
- Alternatives (when there is an unresolved conflict concerning alternative uses of available resources)
- The environmental impacts of the proposed action and alternatives
- A listing of agencies and persons consulted.
- An EIS, which is described in Part 1502 of the regulations, should include:
- Discussions of the purpose of and need for the action
- Alternatives
- The affected environment
- The environmental consequences of the proposed action
- Lists of preparers, agencies, organizations and persons to whom the statement is sent
- An index
- An appendix (if any)

Although many terms and processes are used in many disciplines when planning, I will present what I believe are the **foundational** principles of planning.

What’s the simplest planning process in the world?

Here’s a hint:

(I don’t know if it’s a good hint)

“Just do it.”

If you were putting this “Just do it” concept into your planning process…

(I mean…
you being a professional that
needs to impress folks and such)

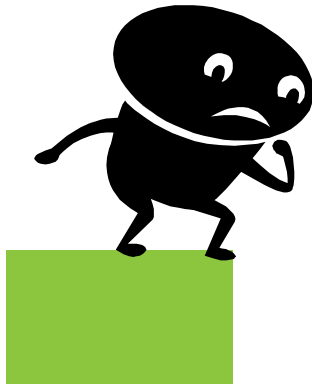
what would you call it?

How about…

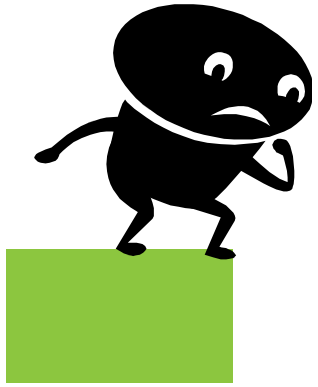
“Implementation”

so…

What might be the next simplest?



“Look…



before you leap”

There is a federal program that used this “look before you leap” planning process:…

CWA Section 314

– Clean Lakes program

Phase I

Assessment

&

Phase II

&

Implementation

1 - look at the problem

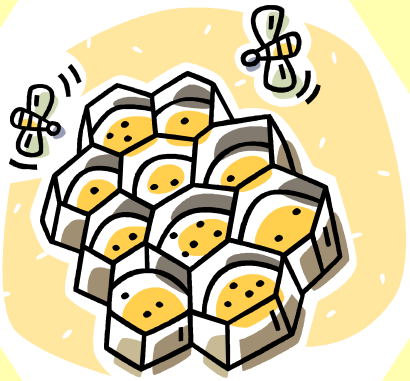
2 - decide what to do

3 - then do it

4 - see if it worked


4 - Monitoring
Assessment
1 - Assessment
Implementation
3 - Implementation
Decision
2 - Decision

Monitoring
&
Evaluation

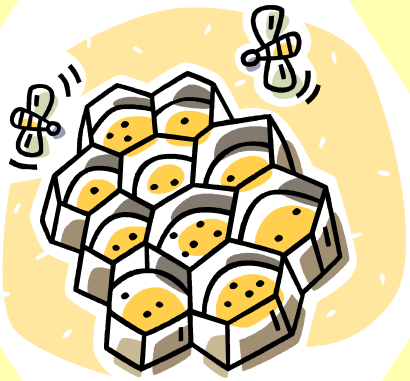


Assessment & Inventory

Development of Alternatives

Decision from Alternatives

Monitoring & Evaluation



Assessment & Inventory

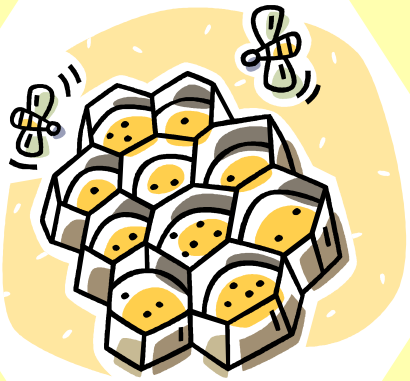
Development of Alternatives

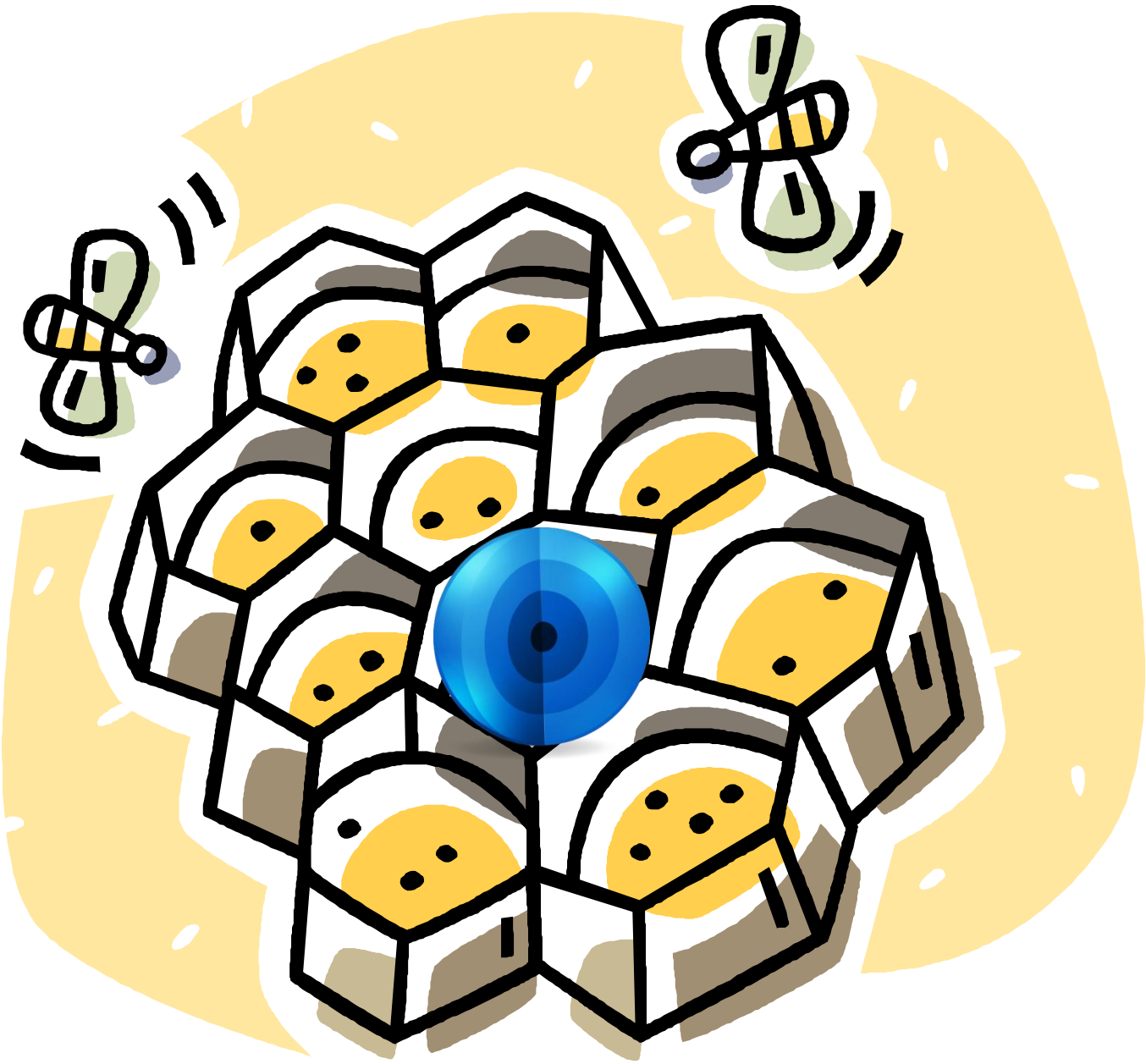
Decision from Alternatives

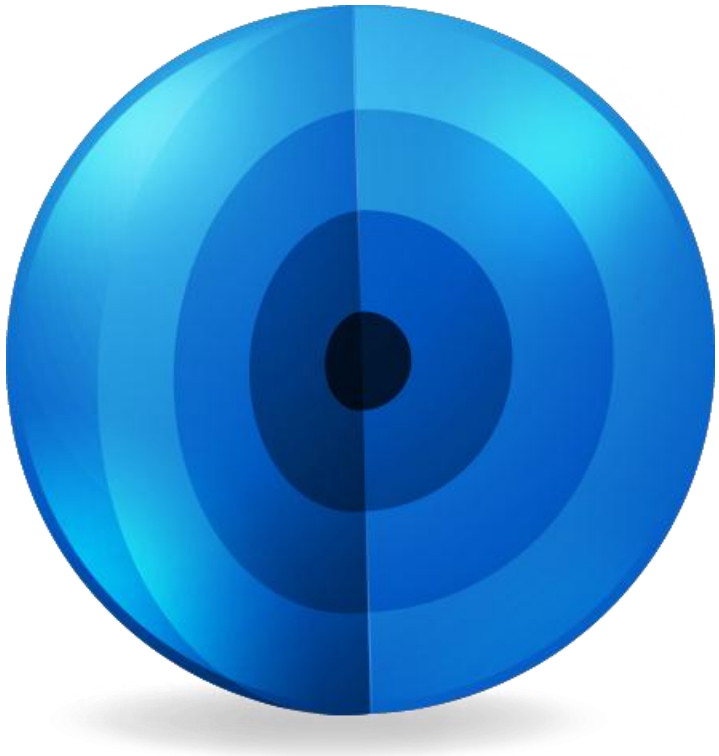
Design

Implementation

Monitoring & Evaluation







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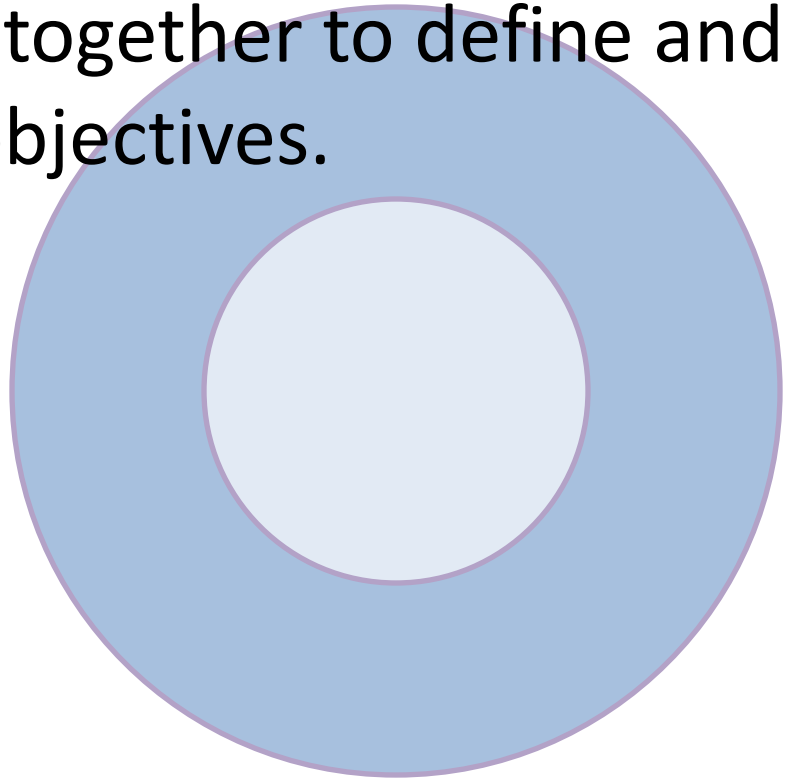


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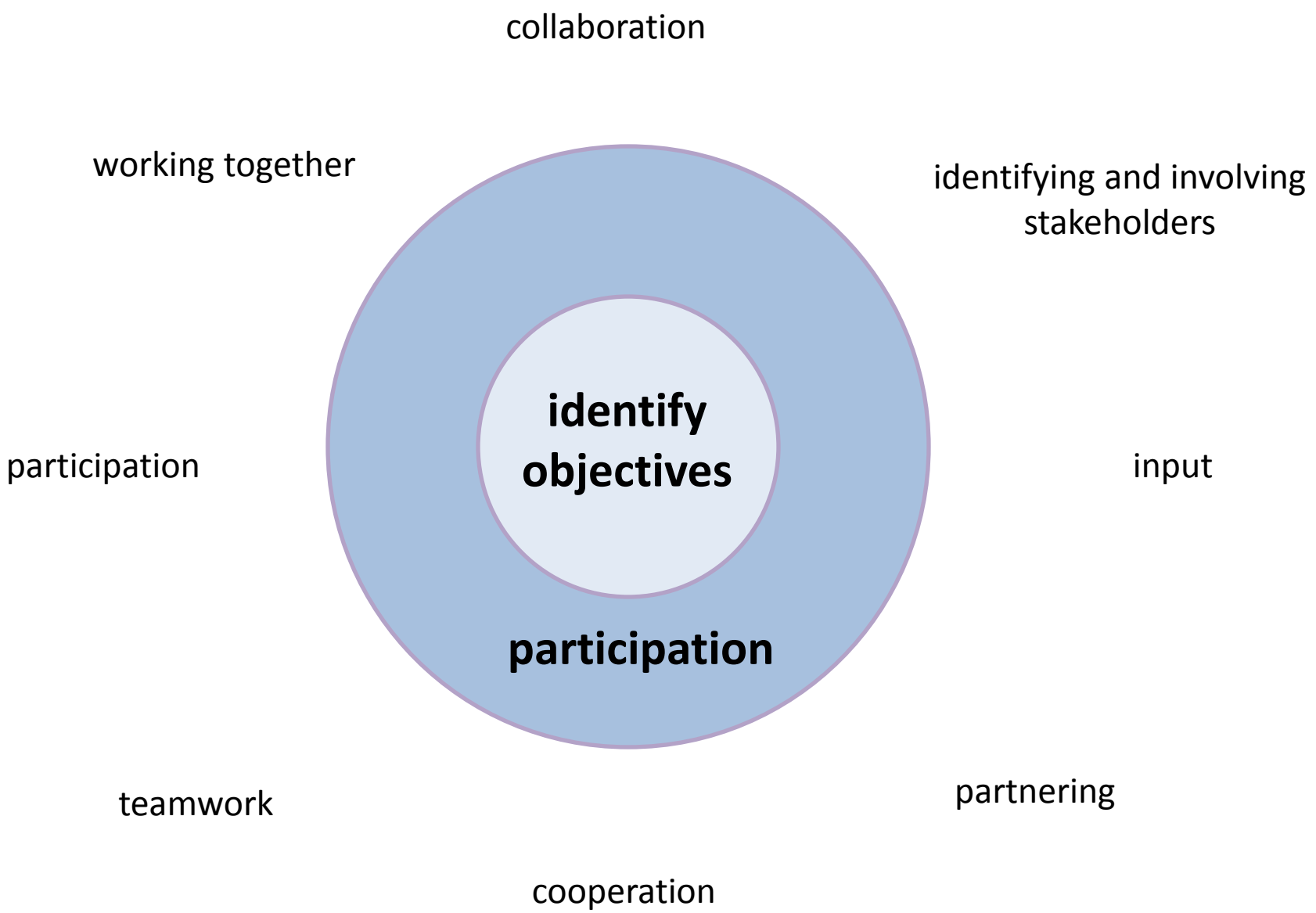
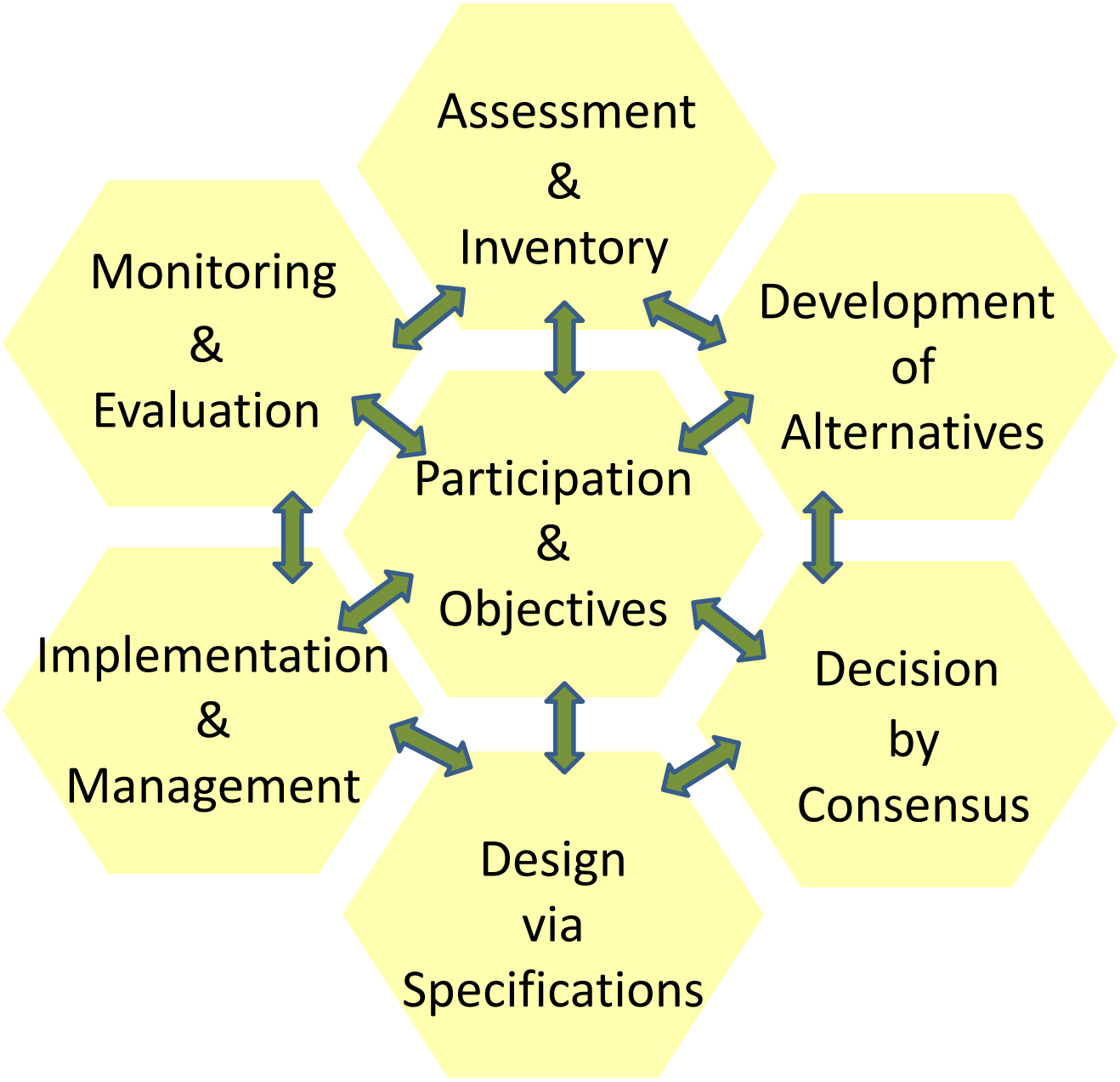

collaboration
working together
identifying and involving stakeholders
identify objectives
participation
participation
input
teamwork
partnering
cooperation


identify
objectives
participation


Assessment & Inventory
Development of Alternatives
Decision by Consensus
Design via Specifications
Implementation & Management
Monitoring & Evaluation
Participation & Objectives

http://www.waterquality.utah.gov/documents/hydromod.pdf

STATE OF UTAH

NONPOINT SOURCE MANAGEMENT PLAN FOR HYDROLOGIC MODIFICATIONS

an addendum to the:

UTAH NONPOINT SOURCE MANAGEMENT PLAN

March 1995

UTAH DEPARTMENT OF ENVIRONMENTAL QUALITY
UTAH DIVISION OF WILDLIFE RESOURCES
USDA NATURAL RESOURCE CONSERVATION SERVICE
UTAH DEPARTMENT OF TRANSPORTATION
USDI BUREAU OF RECLAMATION
SALT LAKE COUNTY

UTAH DEPARTMENT OF AGRICULTURE
UTAH DIVISION OF WATER RIGHTS
USDA FOREST SERVICE
UTAH STATE UNIVERSITY EXTENSION
USDI GEOLOGICAL SURVEY

Prepared for the:

UTAH NPS TASK FORCE

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Jim Kolva - USDI GEOLOGICAL SURVEY
Steve Jensen - SALT LAKE COUNTY

(and other contributing participants from the Utah NPS Task Force)

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- Utah's Hydromod BMPs

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HYDROMOD PLANNING PROCESS

Definition: A standard planning process for hydrologic modification BMP development, implementation, and documentation. This process includes several **critical** items:

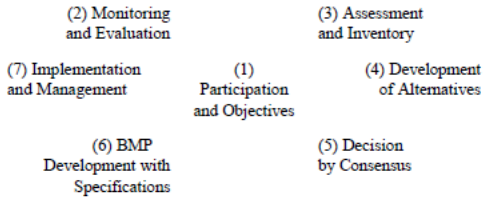
1. the identification of the hydrologic modification activity;
2. the development and consideration of alternatives that **avoid or discontinue the activity**, that **manage or modify the activity**; and that fully represents a range of possibilities; and
3. the participation of all appropriate stakeholders (including the landowner and potentially affected water rights owners) in making the decisions;

Objective: To identify a planning method that directs the protection of water quality and of beneficial uses during hydrologic modification activities. Three components are essential in achieving and demonstrating success:

1. sufficient information that supports good decision making and that demonstrates success;
2. the availability of effective alternatives for and appropriate participation with the decision; and
3. the resolve to develop and implement the decisions made including follow-through with provisions for operation and maintenance activities.

Process Application Standards:

For a practice to be considered a hydrologic modification BMP in Utah, it must be able to satisfy the following seven planning elements. Most simply, this process can be portrayed in a honeycomb diagram:



Instructions for using these planning elements:

1. Provide broad participation whereby technical, financial, and historical resources are garnered as necessary to accomplish three things:

    a. designating leadership,
    b. formulating the resource management objectives (including the protection of water quality and of beneficial uses during the hydrologic modification activity); and
    c. accomplishing each step of the planning process.

    Do not progress step-by-step through the seven elements. The process can be modified as needed. For example, if enough information is not available to adequately determine objectives, then jump to element (3) until enough information is available to satisfy element (1). The person designated as leader will ensure that each element is met in a manner that the group determines is most effective. The leader will also ensure that the first two principles of the CRMP process are fulfilled:

    (1) direct communication between participants

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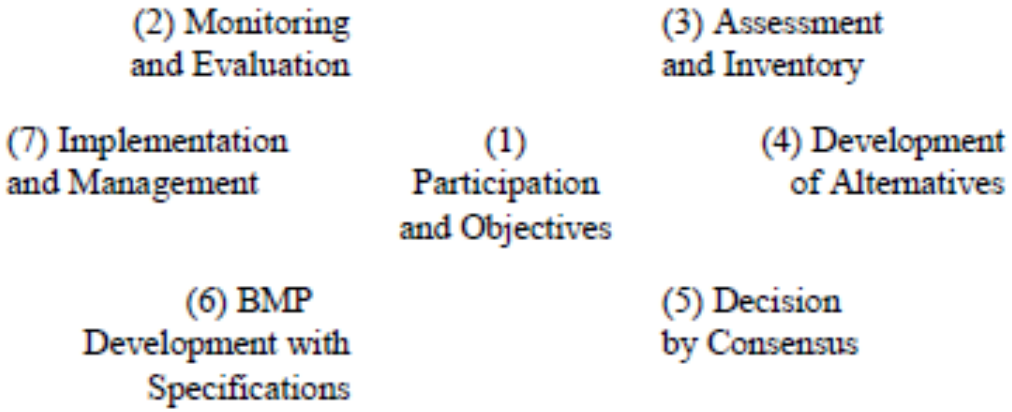

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    (1) direct communication between participants

(2) inclusion of all interests and ownerships

2. Design monitoring and evaluation mechanisms in order to adequately demonstrate the achievement of the objectives. This element is identified as second because once the objectives are known, the evaluation mechanisms must be considered. It could have as easily been placed last, in fact, most planning processes do place it last. The element will need to be revisited during and after the fulfillment of the implementation and management element or "last".

3. Obtain sufficient pertinent information in order to support adequate decision-making including the assessment and inventory of natural resource processes and conditions, of economics, of sociological consequences, and the identification of roles and responsibilities, laws and regulations, and previous studies. These include, but are not limited to, a good understanding of the hydrologic modification activity, stream or water body characteristics (i.e., flow regime and dynamics, geomorphic and geologic character and response, vegetative community and stage, aquatic habitat and response, and water quality and response). The leader will ensure that the third and fifth principles of the CRMP process are fulfilled:

(3) consideration of resources and resource use
(5) recognition of existing laws and regulations

4. Develop an adequate variety of alternatives in order to increase the likelihood of success given the particular resource conditions, economics, and circumstances. Include alternatives that avoid or reduce impacts from the activity and that manage the activity.

5. Obtain a decision that represents a consensus opinion of those who are appropriately involved with the decision. The leader will ensure that the fourth and sixth principles of the CRMP process are fulfilled:

    (4) respect of all rights and obligations of participants
    (6) decision-making based on consensus

6. In developing the site specific BMP, adhere not only to the application standards set by the Utah Hydromod BMP for the activity, but adhere to all other applicable standards, specifications, rules, regulations, etc. Incorporate the BMP into other BMPs and natural resource management activities.

7. Allocate sufficient attention and resources to long-term management of the activities and maintenance of implemented facilities in order to achieve long term management of the hydrologic modification activity and its effects including the protection of water quality and beneficial uses.

Concerns:

All federal, state, and local laws, regulations, and permitting requirements which may apply must be followed. Additionally, this planning process requires commitment by its participants. Hidden agendas and political maneuvering can circumvent any progress. These agendas should be brought to the forefront and incorporated into the collective objectives. If they aren't, the objectives may not be satisfied.

References:

CRMP - Banner, Roger E. 1989. Utah Coordinated Resource Management and Planning Handbook and Guidelines. Utah Coordinated Resource Management and Planning Executive Council and Task Group. Utah State University Cooperative Extension Service. EC - 436.

CRMP - Anderson, E. William, and Baum, Robert C. 1988. How To Do Coordinated Resource Management Planning. Journal of Soil and Water Conservation, May-June 1988, Volume 43, Number 3: p216-220.

NCPM - USDA Soil Conservation Service, 1984. National Conservation Planning Manual, 180-V, Issue UT-1, Part UT-580, Project Planning.